

**CERTIFICATE OF FACSIMILE TRANSMISSION**

This correspondence is being transmitted by facsimile transmission to the United States Patent and Trademark Office on April 30, 2004, to Fax No. 703-872-9306

By 

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

Applicants: Lawrence KOHLS et al

Docket No. LAK-1

Application No. 09/228909

Art Unit: (formerly 2765)

Initial Filing date: 01/26/2004

Examiner: (formerly P. Kanof)

RCE Filing date: 06/19/2002

Title: TRADING SYSTEMS FOR FIXED-VALUE CONTRACTS

**PRELIMINARY AMENDMENT UNDER 37 CFR 1.115**

Commissioner for Patents  
P.O. Box 1450, Alexandria, VA 22313-1450

Commissioner:

Pursuant to 37 CFT 1.115, please amend the above-identified application as follows:

**Preliminary Amendment**

**Amendments to the claims**

Applicants requests that all of the claims previously presented by cancelled, and that there be substituted therefor new claims 1-26 as set forth below and in the appended Listing of All Claims Pending upon Submission of Preliminary Amendment.

In order to assist in the examination of the present application, and in view of its prior examination and the allowance of all then pending claims prior to Applicants' submission of a Request for Continued Examination on June 19, 2002, applicants would

like to inform the examiner of the relationship of the claims now presented to the previously presented and allowed claims.

In this Preliminary Amendment, and as shown below and on the appended Listing of Claims Pending Upon Submission of Preliminary Amendment, the following amendments have been made to the claims as presented upon filing of the RCE on June 19, 2002:

1. Former claims 1-5 have been conflated into a single, new claim 1 in order to more clearly present the invention as directed to a computerized trading system having the specific trading system elements previously distributed among claims 1-5.
2. Brief amendments have been made to each of former independent claims 11 (now 7); former claim 14 (now 10); former claim 17 (now 13); and former claim 27 (now 23), to more clearly distinguish the present invention as set forth in said independent claims from a prior art computerized trading system, the "Iowa Electronics Market" trading system, as disclosed in 4 prior art references submitted by applicants in an Information Disclosure Statement filed upon filing their Request for Continued Examination.
3. In each of many dependent claims, an amendment has been made in the claim number reference of the parent claim, occasioned by the cancellation of former claims 2-5. Such amendments appear in claims 2-6, 8-9, 11-12, 14-22, and 25-26, all as shown on the appended listing of claims pending upon submission of preliminary amendment. Said claims are otherwise unchanged from former claims 6-10, 12-13, 15-16, 18-26, and 29-30.
4. Former claims 31-34 have been cancelled, and not restated in any form.

The claims as now presented are set forth in the following section of this preliminary amendment, and also in the appended Listing of Claims Pending Upon Submission of Preliminary Amendment. In said presentations, changes from prior, differently-numbered versions of any claim are indicated.